
State:	District of Columbia	Filing Company:	American United Life Insurance Company
TOI/Sub-TOI:	A02.1G Group Annuities - Deferred Non-Variable and Variable/A02.1G.002 Flexible Premium		
Product Name:	Group Annuity Amendment Full Service		
Project Name/Number:	/		

Filing at a Glance

Company:	American United Life Insurance Company
Product Name:	Group Annuity Amendment Full Service
State:	District of Columbia
TOI:	A02.1G Group Annuities - Deferred Non-Variable and Variable
Sub-TOI:	A02.1G.002 Flexible Premium
Filing Type:	Form
Date Submitted:	02/13/2020
SERFF Tr Num:	AULD-132172786
SERFF Status:	Submitted to State
State Tr Num:	
State Status:	
Co Tr Num:	FULLSERV-AMD
Implementation	
Date Requested:	
Author(s):	Angie Neville, Nelvia Washington, Robert Ryan
Reviewer(s):	
Disposition Date:	
Disposition Status:	
Implementation Date:	

State: District of Columbia **Filing Company:** American United Life Insurance Company
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General Information

Project Name: Status of Filing in Domicile: Not Filed
Project Number: Date Approved in Domicile:
Requested Filing Mode: Domicile Status Comments:
Explanation for Combination/Other: Market Type: Group
Submission Type: New Submission Group Market Size: Small and Large
Group Market Type: Employer Overall Rate Impact:
Filing Status Changed: 02/13/2020
State Status Changed: Deemer Date:
Created By: Angie Neville Submitted By: Angie Neville
Corresponding Filing Tracking Number:

Filing Description:

Re: American United Life Insurance Company (AUL)
AUL's NAIC #60895 and FEIN #35-0145825
Form FullServ-AMD, Group Annuity Amendment

Dear Reviewer,

The enclosed new Form FullServ-AMD amendment is being submitted for filing and approval. This form does not replace any existing group annuity form. We are submitting this forms in "John Doe" fashion, with any variable information displayed in bold-face type within brackets.

Pursuant to Indiana Regulation IC §27-1-12.5-1 and Bulletin 93, this group annuity form is exempt from filing in the state of Indiana, which is our state of domicile. There is no filing fee required for these types of group annuity forms in the state of Indiana.

Amendment Form FullServ-AMD will be issued with previously filed group annuity contract forms that have been approved by your office. A list of these group annuity contract forms has been placed under the Supporting Documentation tab. These group annuity contracts are used to fund tax qualified plans or other employer provided benefit programs.

This amendment will allow the contract to move to full service level administration by AUL with the consent of the contractholder/plan sponsor. The amendment will reflect the fees associated with full service level administration.

American United Life has reviewed the form and believes, to the best of its knowledge, that the form is both consistent with the laws and regulations of your state and in compliance with those laws and regulations. This form does not contain any controversial or unusual items from normal company and industry standards.

If there are any questions, please let me know. Thank you for your review of our filing.

Sincerely,

Robert Ryan

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Senior Contract Analyst, Compliance/Legal

Phone: 317.285.4372 Fax: 317.285.5510 robert.ryan@oneamerica.com

Company and Contact

Filing Contact Information

Robert Ryan, Senior Contract analyst
One American Square
Indianapolis, IN 46206

productcompliance.corporatecompliance@oneamerica.com
877-285-7660 [Phone] 4372 [Ext]
317-285-5510 [FAX]

Filing Company Information

American United Life Insurance
Company
One American Square
P.O. Box 7127
Indianapolis, IN 46206
(877) 285-7660 ext. [Phone]

CoCode: 60895
Group Code: 619
Group Name:
FEIN Number: 35-0145825

State of Domicile: Indiana
Company Type:
State ID Number:

Filing Fees

Fee Required? No

Retaliatory? No

Fee Explanation:

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Correspondence Summary

Amendments

Schedule	Schedule Item Name	Created By	Created On	Date Submitted
Supporting Document	SOV	Angela Riggles	02/14/2020	02/14/2020

State:	District of Columbia	Filing Company:	American United Life Insurance Company
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Amendment Letter

Submitted Date: 02/14/2020

Comments:

An SOV has been added as supporting documentation.

Our apologies for this oversight.

Changed Items:

No Form Schedule Items Changed.

No Rate Schedule Items Changed.

Supporting Document Schedule Item Changes	
Satisfied - Item:	SOV
Comments:	
Attachment(s):	FullServ-AMD SOV.pdf

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Form Schedule

Lead Form Number: FULLSERV-AMD								
Item No.	Schedule Item Status	Form Name	Form Number	Form Type	Form Action	Action Specific Data	Readability Score	Attachments
1		Group Annuity Amendment	FullServ-AMD	POLA	Initial			Form FullServ-AMD - Group Annuity Amendment.pdf

Form Type Legend:

ADV	Advertising	AEF	Application/Enrollment Form
CER	Certificate	CERA	Certificate Amendment, Insert Page, Endorsement or Rider
DDP	Data/Declaration Pages	FND	Funding Agreement (Annuity, Individual and Group)
MTX	Matrix	NAP	Network Access Plan
NOC	Notice of Coverage	OTH	Other
OUT	Outline of Coverage	PJK	Policy Jacket
POL	Policy/Contract/Fraternal Certificate	POLA	Policy/Contract/Fraternal Certificate: Amendment, Insert Page, Endorsement or Rider
PRC	Provider Contract/Provider Addendum/Provider Leading Agreement	PRD	Provider Directory

AMENDMENT
TO THE
GROUP ANNUITY CONTRACT
CONTRACT NUMBER [G XX,XXX] (THE CONTRACT)
ISSUED BY
AMERICAN UNITED LIFE INSURANCE COMPANY® (AUL)
TO
[ABC COMPANY] (THE CONTRACTHOLDER)

This Amendment is effective on [DATE].

When used herein, “we,” “us,” or “our” refer to AUL and “you” or “your” refer to the Contractholder.

AUL and the Contractholder hereby agree, by signing below, that AUL will provide full service level administration for the Plan covered by this Contract. Full service level administration will include the following fees:

- (1) Participant Account Charge: We deduct a Participant Account Charge of up to **[\$10]** per Contract Quarter on the last day of each Contract Quarter from each Participant Account in existence on such day for as long as the Participant Account is in effect. Alternatively, we may bill this charge to you. If the entire balance of a Participant Account is applied or withdrawn before the last day of the Contract Quarter pursuant to the contract, the Participant Account Charge attributable to the period of time which has elapsed since the first day of the Contract Quarter in which such application or withdrawal of funds is made will not be deducted from the amount applied or withdrawn and will not be billed to you.
- (2) Loan Administration Fee: On the last day of each Contract Quarter, we deduct from a Participant’s Account a Loan Administration Fee of up to **[\$12.50]** for each Plan loan of the Participant that remains outstanding on such day. Alternatively, we may bill this charge to you if you and we mutually agree. If the entire balance of a Participant Account is applied or withdrawn before the last day of the Contract Quarter pursuant to the Contract, the Loan Administration Fee attributable to the period of time which has elapsed since the first day of the Contract Quarter in which such application or withdrawal of funds is made will not be deducted from the amount applied or withdrawn and will not be billed to you.
- (3) Loan Initiation Fee: We assess a Loan Initiation Fee of up to **[\$100]** against the Account of any Participant for whom a Plan loan withdrawal is requested under this contract.
- (4) Charge for Non-Electronic Transfers: We charge a service fee of up to **[\$5]** for non-electronic transfers between Investment Options, which will either be billed to you or deducted from the applicable Participant Account.
- (5) Distribution Fee: We bill you for a Distribution Fee of up to **[\$40]** for each Participant for whom a withdrawal is made under this contract in which the entire Participant Account is distributed in a lump-sum. Alternatively, we may assess this Distribution Fee against the affected Participant Account if permitted under applicable law, regulations, and rulings.

- (6) Contract Termination Individual Participant Check Fee: We bill you for a fee of up to **[\$100]** for each Participant for whom an individual check is prepared upon contract termination. (This charge does not apply to a lump-sum payment to you upon contract termination.) Alternatively, we may assess this fee against the affected Participant Account if permitted under applicable law, regulations, and rulings.
- (7) Investment Advice Provider Fee: We bill you for an Investment Advice Provider Fee in an amount separately agreed upon by you and the third-party investment advice provider. Alternatively, we may assess this Investment Advice Provider Fee against the Account of each Participant who utilizes the investment advice provider's services if permitted under applicable law, regulations, and rulings. The entire fee collected by us will be forwarded to the investment advice provider. No portion of this fee will be retained by us.

This Amendment shall be null and void unless it is properly executed by the Contractholder and received by AUL at its Home Office no later than **[DATE]**, unless countersigned by AUL after such date.

CONTRACTHOLDER

By _____

Title _____

Date _____

AUL

By _____

Title _____

Date _____

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Supporting Document Schedules

Satisfied - Item:	Contract lisiting
Comments:	
Attachment(s):	00 DC Contract Listing.pdf
Item Status:	
Status Date:	

Satisfied - Item:	SOV
Comments:	
Attachment(s):	FullServ-AMD SOV.pdf
Item Status:	
Status Date:	

DISTRICT of COLUMBIA CONTRACT APPROVALS		
FORM #	Description	APPROVAL DATE
P-12947(BR)	401 Group Annuity	02/25/93
P-12621	403(b) Group Annuity	07/30/90
P-14020	401 & 403 Group Annuity	10/28/96
NRDCP	NR 457 DCP Group Annuity	03/20/01
P-12518	457 DCP Group Annuity	04/13/90

American United Life Insurance Company – NAIC 60895
Form FullServ-AMD
Statement of Variability (SOV)
02/12/20

Description	Variable Language	Variable Explanation
John Doe Information	G XX,XXX]; [ABC COMPANY]; [DATE]	Contract holder/Contract specific information/name
Participant Account Charge	[\$10]	Range = \$10 to \$20
Loan Administration Fee	[\$12.50]	Range = \$12.50 to \$30
Loan Initiation Fee	[\$100]	Range = \$100 to \$200
Charge for Non-Electronic Transfers	[\$5]	Range = \$5 to \$20
Distribution Fee	[40]	Range = \$40 to \$100
Contract Termination Fee	[100]	Range = \$100 to \$200